
Trade Software Developer Technical Seminar Automated Export Manifest

**William Delansky, CBP
Cargo Control and Release
March 7, 2012**



**U.S. Customs and
Border Protection**



CBP ISSUE STATEMENT

In order to comply with the provisions of the Safe Port Act of 2006, the President's National Export Initiative (NEI) and the President's Export Control Task Force CBP is proposing to develop an automated export manifest and to enhance the Automated Export System (AES) to leverage existing CBP functionality for the benefit of the trade, PGAs and CBP.





ACE/ITDS/AES SINGLE WINDOW EXPORT SYSTEM

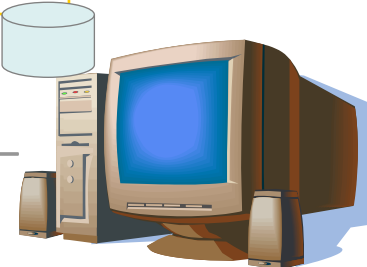
Sources of Data

Trade
USPPI/Exporter

Carriers
Truck, Air, Rail, and Sea

Intermediaries
Freight Forwarders, Agents

eLibrary
Trade Reference Materials



ACE/ITDS/AES
Homeland Security, DHS

Customs and Border Protection

- 100% Border Presence
- 100% Enforcement Screening
- Drug Interdiction
- Money Laundering
- ACE System Operations
- Multi-Agency Information Sharing

USCG
Ship Manifests

ICE
Immigration and Customs Enforcement

TSA
Passenger Security

Statistical

Census
Trade Statistics

Multi-Agency Data Warehouse

- Intelligence Tools
- Analytical Tools
- Targeting Tools

PGAs With LPC Requirements

AMS
Grading of Food Quality

FSIS
Meat, Poultry, and Egg Food Safety

CPSC
Product Import Safety

APHIS
Animal & Plant Safety

ATF
Firearms and Explosives

NRC
Radioactive Material

DOD
Foreign Military Sales

FAS
Dairy and Sugar Food Safety

FDA
Safety of Food, Drugs, & Medical Devices

NMFS
Fish and Fish Products

EPA
Environmental safety

FWS
Wildlife and Plants

DEA
Drug Investigations

Export Control

COMMERCE
BIS - DUAL USE EXPORTS

STATE
DDTC- ITAR MUNITIONS

TREASURY
OFAC

DOD
USXPORT



U.S. Customs and Border Protection



BACKGROUND

- There currently is no automated pre-filed export manifest system and the trade, PGAs, and CBP are using a paper manifest for the processing of export shipments.
- The lack of an automated export manifest results in:
 - Increases costs for CBP, the exporter, freight forwarder, carriers and all parties to the export transaction
 - Impacts the enforcement of export laws and regulations by CBP and other government agencies
 - Impacts facilitation of the movement of export shipments
- The Automated Export System (AES) is used to capture export commodity data for Census and CBP.
- AES is not currently leveraging existing CBP application such as ACE, DIS and IWS to provided enhanced benefits to CBP, PGAs and the trade.





CURRENT STATUS

- The Office of International Trade (OT), the Office of Field Operations (OFO) and the Office of Information Technology (OIT) are looking to start to capture the Operational Requirements for a export project to include work in automating export manifest and enhancements of the Automated Export System (AES) in collaborations with Census.
- A requirements gathering process is currently underway to develop internal CBP business process flows and operational requirements to develop a requirements baseline to build the export manifest
- CBP is also working with the trade TSN Export, Multi-Modal Manifest, and ITDS committees to validate and document the trade's user requirements.
 - An Automated Export Manifest (AEM) Task Group was established to coordinate this effort among the trade committees.





ace Proposed Export Process Improvements

- Develop an automated system for the submission of export manifest.
- Re-host of AES onto a modern platform.
- Enhance AES application, in collaboration with Census, to take advantage of the automated export manifest data and the USXPort system development for export license functionality.
- Develop the capability for accepting document images to support manifest, commodity, and export control filings
 - CBP is currently examining the possibility to leverage DIS to receive copies of the current export manifest as a interim step to help reduce cost for both the trade and CBP in the short term.
- Develop functionality to leverage the Interoperability Web Based System (IWS) among CBP and the PGAs for export data.



Benefits of a Fully Automated Export Process

- Allow for a reduction in transaction costs for the trade by providing a single window platform for processing import and export transactions and eliminating the huge costs of paper processing
- Streamline the processing and efficiencies for CBP field users by reducing the system time required to perform core functions
- Allow for advanced electronic review and targeting of export shipments
- Allow for a comprehensive view of all export transactions (manifest, commodity, licenses) from a single platform
- Provide a national account view of all trade filers and transactions on a nationwide basis for both imports and exports
- Provide the capability to access and view export transaction data and run reports for CBP, PGAs, and trade users

Executive Summary

Current Requirements Gathering Process

Executive Summary

New Approach to Requirements

The Export Requirements CONOPS and ORD Creation and Delivery project is utilizing a proven method of analyzing and capturing the operational needs and requirements of the stakeholder community; working collaboratively across OT, OIT, and OFO, and with the PGAs.

- The approach focuses on the needs of the stakeholders as the driving force behind the CONOPS and the ORD
- Identification of operational needs mapped to business processes
- On-going communication and coordination among the project team across CBP, PGAs and the Trade
- Increased breadth of participation across CBP Offices and Branches
- Compliance with AD-102 and CBP SELC requirements for reviews and approvals

Communication and Coordination Among Teams

- Structured and coordinated concurrent activities across 3 Government teams
- Continued involvement leads to successful ACE Export System Control (ACE ESC) requirements development through increased stakeholder engagement

Participation Across the Stakeholder Community

- Customs and Border Protection (CBP) – 58
- Participating Government Agencies – 1 (Census)
- Limited Engagement with Trade (Air Express Carriers)
- CBP Senior Leadership Commitment and Participation - OT, OIT, OFO



Approach to Requirements

Stakeholder Driven

- Since January 2012, the team has conducted more than 25 all-day working sessions, 4 weeks of QA reviews and regularly facilitated discussions with OT, OIT, and OFO, the Trade and PGAs to meet the March 15, 2012 Draft CONOPS and Draft ORD milestone.
 - Focused on end-to-end business needs first to identify process flows and requirements
 - Engaged subject matter experts from across CBP, Census, and the Trade community and CBP to identify operational requirements, document CONOPS and ORD draft content, and perform reviews
 - Enabled comprehensive requirements to be defined at the outset of the project which will minimize lost time and sunk cost due to missing or incorrect requirements

Working Sessions resulted in:

- ***Increased Completeness of Coverage*** → Examined 29 To-Be Export Manifest processes, and drafted, fully mapped and validated 17 of these as being Export Manifest specific processes. Additionally, we have identified 15 potential Export Commodity processes. To date we have drafted, and fully mapped and validated 1 To-Be Export Commodity process.
- ***Increased Fidelity and Understanding*** → Examined, drafted, and fully mapped three As-Is Export Manifest processes.
- ***Creation of Operational Requirements Compliant with the AD-102 and CBP SELC Expectations*** → The team started with zero Operational Requirements. To date, we have identified 31 Operational Requirements through the working sessions.

Net result of the approach is more well informed stakeholders, increased fidelity and understanding of Operational Requirements.



U.S. Customs and
Border Protection

Communication and Coordination Among Teams

Team Approach

- Three integrated teams (with shared resources across the teams for consistency and coordination) working in tandem to address Business Process documentation and Operational Requirements derivation in direct support of Draft CONOPS and Draft ORD creation.
 - **Team 1 – Led by Bill Delansky (OT):** Export Processes and Operational Requirements daily working sessions
 - **Team 2 – Led by Kevin Mooney (OT):** Export Process and Requirements Gap Analysis, Quality Control and Regulations impact virtual review and weekly working sessions
 - **Team 3 – Led by Josephine Baiamonte (OT):** Reviewing policy, legal and technical issues for impact against operational requirements



Export CONOPS and ORD Creation Overview

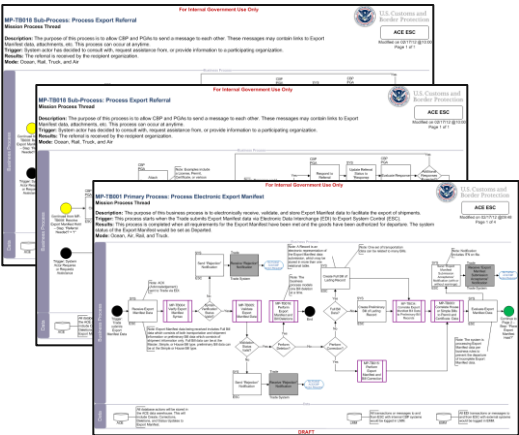
In support of Acquisition Decision Event (ADE) 2a as defined by the DHS AD-102 creating the following documents in draft by March 15, 2012.

- Cargo Release Concept of Operations (CONOPS)
- Cargo Release Operational Requirements Document (ORD)
- Requirements Traceability Matrix (RTM)
- Performing analysis and validation on existing CBP Export requirements
- Reviewing existing documentation, processes, and approach to determine currency, compliance, and completeness relative to the requirements process
- Mapping Export requirements to the mission needs
- Analyzing the Exports Community of Stakeholders, Tools, Actors, Information Transactions, and Capabilities
- Performing Operational Analysis of Exports
 - Examined Export processes, activities and functions in the legacy environment
 - Analyzed future state of how operators and stakeholders want/need the Export operations to be performed
 - Created business process mapping documentation for Export processes

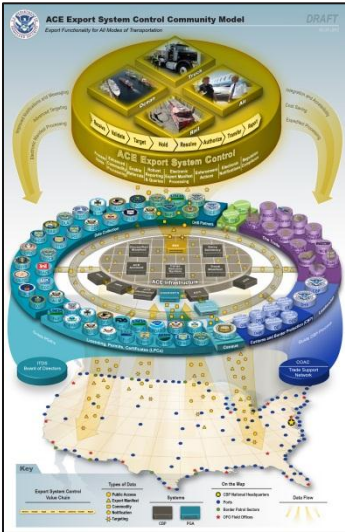


Exports Work Products and Deliverables

Work Products



17 Mission Process Threads

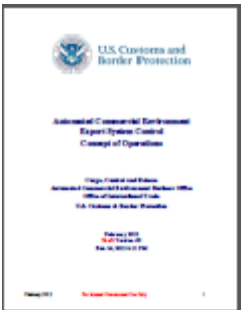


Export Community Model

Stakeholder	Stakeholder Name	Stakeholder Description	Stakeholder Type
1	U.S. Customs and Border Protection	U.S. Customs and Border Protection (CBP) is the lead agency for the ACE Export System Control Community Model. CBP is responsible for the development, implementation, and maintenance of the ACE Export System Control Community Model. CBP is also responsible for the coordination of the ACE Export System Control Community Model with other U.S. government agencies and the private sector.	Government
2	U.S. Department of Commerce	The U.S. Department of Commerce (DOC) is responsible for the development, implementation, and maintenance of the ACE Export System Control Community Model. DOC is also responsible for the coordination of the ACE Export System Control Community Model with other U.S. government agencies and the private sector.	Government
3	U.S. Department of State	The U.S. Department of State (DOS) is responsible for the development, implementation, and maintenance of the ACE Export System Control Community Model. DOS is also responsible for the coordination of the ACE Export System Control Community Model with other U.S. government agencies and the private sector.	Government
4	U.S. Department of Justice	The U.S. Department of Justice (DOJ) is responsible for the development, implementation, and maintenance of the ACE Export System Control Community Model. DOJ is also responsible for the coordination of the ACE Export System Control Community Model with other U.S. government agencies and the private sector.	Government
5	U.S. Department of Homeland Security	The U.S. Department of Homeland Security (DHS) is responsible for the development, implementation, and maintenance of the ACE Export System Control Community Model. DHS is also responsible for the coordination of the ACE Export System Control Community Model with other U.S. government agencies and the private sector.	Government
6	U.S. Department of Energy	The U.S. Department of Energy (DOE) is responsible for the development, implementation, and maintenance of the ACE Export System Control Community Model. DOE is also responsible for the coordination of the ACE Export System Control Community Model with other U.S. government agencies and the private sector.	Government
7	U.S. Department of Health and Human Services	The U.S. Department of Health and Human Services (HHS) is responsible for the development, implementation, and maintenance of the ACE Export System Control Community Model. HHS is also responsible for the coordination of the ACE Export System Control Community Model with other U.S. government agencies and the private sector.	Government
8	U.S. Department of Education	The U.S. Department of Education (DOE) is responsible for the development, implementation, and maintenance of the ACE Export System Control Community Model. DOE is also responsible for the coordination of the ACE Export System Control Community Model with other U.S. government agencies and the private sector.	Government
9	U.S. Department of Agriculture	The U.S. Department of Agriculture (DOA) is responsible for the development, implementation, and maintenance of the ACE Export System Control Community Model. DOA is also responsible for the coordination of the ACE Export System Control Community Model with other U.S. government agencies and the private sector.	Government
10	U.S. Department of Veterans Affairs	The U.S. Department of Veterans Affairs (DOVA) is responsible for the development, implementation, and maintenance of the ACE Export System Control Community Model. DOVA is also responsible for the coordination of the ACE Export System Control Community Model with other U.S. government agencies and the private sector.	Government
11	U.S. Department of Housing and Urban Development	The U.S. Department of Housing and Urban Development (DOHUD) is responsible for the development, implementation, and maintenance of the ACE Export System Control Community Model. DOHUD is also responsible for the coordination of the ACE Export System Control Community Model with other U.S. government agencies and the private sector.	Government
12	U.S. Department of Transportation	The U.S. Department of Transportation (DOT) is responsible for the development, implementation, and maintenance of the ACE Export System Control Community Model. DOT is also responsible for the coordination of the ACE Export System Control Community Model with other U.S. government agencies and the private sector.	Government
13	U.S. Department of Labor	The U.S. Department of Labor (DOL) is responsible for the development, implementation, and maintenance of the ACE Export System Control Community Model. DOL is also responsible for the coordination of the ACE Export System Control Community Model with other U.S. government agencies and the private sector.	Government
14	U.S. Department of Social Security	The U.S. Department of Social Security (DOSS) is responsible for the development, implementation, and maintenance of the ACE Export System Control Community Model. DOSS is also responsible for the coordination of the ACE Export System Control Community Model with other U.S. government agencies and the private sector.	Government
15	U.S. Department of Treasury	The U.S. Department of Treasury (DOTREAS) is responsible for the development, implementation, and maintenance of the ACE Export System Control Community Model. DOTREAS is also responsible for the coordination of the ACE Export System Control Community Model with other U.S. government agencies and the private sector.	Government
16	U.S. Department of Defense	The U.S. Department of Defense (DOD) is responsible for the development, implementation, and maintenance of the ACE Export System Control Community Model. DOD is also responsible for the coordination of the ACE Export System Control Community Model with other U.S. government agencies and the private sector.	Government
17	U.S. Department of the Interior	The U.S. Department of the Interior (DOI) is responsible for the development, implementation, and maintenance of the ACE Export System Control Community Model. DOI is also responsible for the coordination of the ACE Export System Control Community Model with other U.S. government agencies and the private sector.	Government

Stakeholder, Actor, and Tool Inventories

Deliverables (approval requested)



CONOPS



ORD

Item	Req ID	Req Title	Req Description	Req Status	Req Owner	Req Date	Req Type	Req Category	Req Subcategory	Req Priority	Req Impact	Req Effort	Req Cost	Req Risk	Req Notes
1	17010	Export Referral	The system shall provide a mechanism for the user to submit an export referral request to the ACE Export System Control Community Model.	Approved	U.S. Customs and Border Protection	2017-01-01	Functional	Export Referral	Export Referral	High	Medium	Low	Low	Low	The system shall provide a mechanism for the user to submit an export referral request to the ACE Export System Control Community Model.
2	17011	Export Referral	The system shall provide a mechanism for the user to submit an export referral request to the ACE Export System Control Community Model.	Approved	U.S. Customs and Border Protection	2017-01-01	Functional	Export Referral	Export Referral	High	Medium	Low	Low	Low	The system shall provide a mechanism for the user to submit an export referral request to the ACE Export System Control Community Model.
3	17012	Export Referral	The system shall provide a mechanism for the user to submit an export referral request to the ACE Export System Control Community Model.	Approved	U.S. Customs and Border Protection	2017-01-01	Functional	Export Referral	Export Referral	High	Medium	Low	Low	Low	The system shall provide a mechanism for the user to submit an export referral request to the ACE Export System Control Community Model.
4	17013	Export Referral	The system shall provide a mechanism for the user to submit an export referral request to the ACE Export System Control Community Model.	Approved	U.S. Customs and Border Protection	2017-01-01	Functional	Export Referral	Export Referral	High	Medium	Low	Low	Low	The system shall provide a mechanism for the user to submit an export referral request to the ACE Export System Control Community Model.
5	17014	Export Referral	The system shall provide a mechanism for the user to submit an export referral request to the ACE Export System Control Community Model.	Approved	U.S. Customs and Border Protection	2017-01-01	Functional	Export Referral	Export Referral	High	Medium	Low	Low	Low	The system shall provide a mechanism for the user to submit an export referral request to the ACE Export System Control Community Model.
6	17015	Export Referral	The system shall provide a mechanism for the user to submit an export referral request to the ACE Export System Control Community Model.	Approved	U.S. Customs and Border Protection	2017-01-01	Functional	Export Referral	Export Referral	High	Medium	Low	Low	Low	The system shall provide a mechanism for the user to submit an export referral request to the ACE Export System Control Community Model.
7	17016	Export Referral	The system shall provide a mechanism for the user to submit an export referral request to the ACE Export System Control Community Model.	Approved	U.S. Customs and Border Protection	2017-01-01	Functional	Export Referral	Export Referral	High	Medium	Low	Low	Low	The system shall provide a mechanism for the user to submit an export referral request to the ACE Export System Control Community Model.
8	17017	Export Referral	The system shall provide a mechanism for the user to submit an export referral request to the ACE Export System Control Community Model.	Approved	U.S. Customs and Border Protection	2017-01-01	Functional	Export Referral	Export Referral	High	Medium	Low	Low	Low	The system shall provide a mechanism for the user to submit an export referral request to the ACE Export System Control Community Model.
9	17018	Export Referral	The system shall provide a mechanism for the user to submit an export referral request to the ACE Export System Control Community Model.	Approved	U.S. Customs and Border Protection	2017-01-01	Functional	Export Referral	Export Referral	High	Medium	Low	Low	Low	The system shall provide a mechanism for the user to submit an export referral request to the ACE Export System Control Community Model.
10	17019	Export Referral	The system shall provide a mechanism for the user to submit an export referral request to the ACE Export System Control Community Model.	Approved	U.S. Customs and Border Protection	2017-01-01	Functional	Export Referral	Export Referral	High	Medium	Low	Low	Low	The system shall provide a mechanism for the user to submit an export referral request to the ACE Export System Control Community Model.

RTM



U.S. Customs and Border Protection

Next Steps

- Refine To-Be Export Manifest process threads
- Document and map To-Be Export Commodity process threads
- Refine Draft CONOPS and Draft ORD documentation



CHALLENGES

- Develop interoperability systems, interfaces, and legal/regulatory authority to enable PGAs to access and use export data, that they are authorized to access, and develop appropriate data sharing authority among CBP, Census, and all PGAs
- Develop appropriate Memorandum of Understanding (MOUs), and Inter-Connectivity Security Agreements (ISAs) among all PGAs



LEGAL AUTHORITY

- **SAFE Port Act of 2006** – Established ITDS under the Department of the Treasury to oversee an electronic data interchange system under the Customs & Border Protection ACE system.
- Key Points:
 - Establish a single portal system, operated by the United States Customs and Border Protection, for the collection and distribution of standard electronic import and export data required by all participating Federal agencies
 - All Federal agencies that require documentation for clearing or licensing the importation and exportation of cargo shall participate in the ITDS
 - The Secretary shall be responsible for coordinating the operation of the ITDS among the participating agencies and the office within the United States Customs and Border Protection that is responsible for maintaining the ITDS
 - Shall, in consultation with the agencies participating in the ITDS, define the standard set of data elements to be collected, stored, and shared in the ITDS, consistent with laws applicable to the collection and protection of import and export information



QUESTIONS



**U.S. Customs and
Border Protection**